



COMPASS PERFORMANCE AND IMPACT: 2001/2002

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Community
Partnerships for
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Management in
Malawi

COMPASS Performance and Impact: 2001/2002

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ACRONYMS

ADD	Agricultural Development Division
ADS	Automated Directives System
ATF	Advocacy Task Force
BERDO	Bwanje Environmental Rehabilitation and Development Organization
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organization
CLIN	Contract Line Item Number
COMPASS	Community Partnerships for Sustainable Resource Management
CONGOMA	Council for NGO in Malawi
CSC	Christian Services Committee
CURE	Coordination Unit for Rehabilitation of the Environment
DAI	Development Alternatives Incorporated
DANIDA	Danish International Development Agency
DEAP	District Environmental Action Plan
DfID	Department for International Development (United Kingdom)
DMA	Development Management Associates
EAD	Environmental Affairs Department
EDO	Environmental District Officer
ENRM	Environment and Natural Resource Management
EOI	Expression of Interest
FY	Fiscal Year
GIS	Geographical Information Systems
GOM	Government of Malawi
GTZ	Gesellschaft für technische Zusammenarbeit
HIV/AIDS	Human Immuno-deficiency Virus/Acquired Immune Deficiency Syndrome
IUCN	The World Conservation Union
MBC	Malawi Broadcasting Corporation
MEET	Malawi Environmental Endowment Trust
MoNREA	Ministry of Natural Resources and Environmental Affairs
NARMAP	National Aquatic Resources Management Project
NGO	Non-Governmental Organization
NICE	National Initiative for Civic Education
NRBE	Natural Resource Based Enterprise
NRC	Natural Resource Committee
NRM	Natural Resource Management
PCE	Parliamentary Committee on the Environment
PMP	Performance Milestone Plan
RUFA	Rural Foundation for Agroforestry
SADC	Southern African Development Community
SO	Strategic Objective
SR	Sub-Result
TAMIS	Technical and Administrative Management Information System
TR	Targeted Result
TSP	Training Support Programme
UNDP	United Nations Development Program
USAID	United States Agency for International Development
WESM	Wildlife & Environmental Society of Malawi

COMPASS Performance and Impact: 2001/2002

Introduction

This performance report is based on the performance-monitoring plan approved by USAID/Malawi in early 2000¹. The period covered by this report is from October 1st 2001 to September 30th 2002 (the end of USAID's Fiscal Year 2001). One additional monitoring report will be produced by COMPASS for the period 2002/2003. A final synopsis report will be prepared in early 2004 when COMPASS draws to a close.

Background

In 1996, recognizing the importance of addressing environmental problems, the Government of Malawi approved a comprehensive national environmental policy that places emphasis on the management of natural resources by communities. Additionally, the President of Malawi signed into law the nation's first Environmental Management Act that, among other things, provides the requisite architecture for an on-going program of sectoral policy, institutional and legislative reform in favor of the environment.

In March 1997, USAID assisted the Environmental Affairs Department of the Malawi Government by organizing a workshop to facilitate participation in developing a "Results Framework" for a national CBNRM strategy. Building on the National Environmental Action Plan, the framework outlines elements of a strategy for mobilizing communities into effective NRM institutions. This planning was expected to continue under the guidance of a CBNRM National Steering Committee and Secretariat to be established in 1998. However, this was stalled for three years until the National Council on the Environment approved the creation of a CBNRM Working Group and it met for the first time in March 2000. The COMPASS Team will assist the Working Group expand this strategic planning process that will help to strengthen the institutional framework in which CBNRM programs are designed, implemented, monitored and evaluated in Malawi.

COMPASS addresses USAID Strategic Objective Number 6 (SO6)²: Sustainable increases in rural income. This and the other Strategic Objectives are designed to achieve USAID/Malawi's goal of broad-based sustainable economic growth. USAID/Malawi's Strategic Plan for the period 2001 to 2005 will have a goal of **increasing food security and reducing poverty through broad-based economic growth**. COMPASS complements one other USAID/Malawi-supported NRM initiative to address environmental issues, as follows:

Malawi Environmental Endowment Trust (MEET) – that will create a Malawian organization capable of funding environmental initiatives on a sustainable basis through management of an investment portfolio initially capitalized by donor organizations and others.

The COMPASS Approach

The COMPASS team is working toward accomplishing predetermined goals in five discrete areas that are defined as Targeted Results (TR). Each TR has a set of Sub-Results (SR) and for each SR a set of tasks and/or actions that have been identified and will be implemented to achieve the SR and the overall TR. The TRs are as follows:

TR1 Building Malawian Capacity Amongst NGOs and Government to Administer CBNRM Initiatives and Provide the Necessary Technical Support to Practitioners;

¹ COMPASS Document 8 - *Performance Monitoring for COMPASS and CBNRM in Malawi*.

² Prior to approval of USAID/Malawi's Country Strategic Plan for the period 2001 to 2005, COMPASS fell under SO2: Increased sustainable use, conservation and management of renewable natural resources.

- TR2 Establishing Efficient Liaison and Information Exchange Among CBNRM Programs in Malawi and Neighboring Countries;
- TR3 Improving Community Mobilization Skills Within the Public and NGO Sectors;
- TR4 Supporting Policy and Legislative Reform That Assists Improved Resource Management at the Village Level; and
- TR5 Providing Small Grants to CBNRM Practitioners and Promoters.

Included in the COMPASS annual workplans there are a series of tables that describe the way in which we measure progress toward achieving our objectives in each of these areas. In addition, we have included annual targets in terms of our performance and the impact we expect to achieve. These targets were refined from an earlier illustrative monitoring plan³ through a short-term technical assistance assignment in the final quarter of 1999. The first reporting period ended in late 2000 with the production of COMPASS Document 25 – *COMPASS Performance and Impact: 1999/2000*. Subsequently, the second annual performance report was prepared: COMPASS Document 38 – *COMPASS Performance and Impact 2000/2001*. Overall, we anticipate that if COMPASS' approach and basic assumptions are correct, and provided implementation progresses as expected, after five years the capacity to administer and implement CBNRM programs will have improved. Moreover, COMPASS and its partner organizations will have effected a marked improvement in the way natural resources are managed and in the quality and availability of resources. We have identified the following targets for gauging the overarching impact of COMPASS and related CBNRM activities in Malawi:

- ◆ 400 communities adopting CBNRM practices as a result of COMPASS activities;
- ◆ 40% of customary land under improved natural resource management in COMPASS target Districts;
- ◆ 60% of beneficiaries of COMPASS small grants are female;
- ◆ 80% of grant projects are sustained one year after the end of the COMPASS grant period;
- ◆ \$250,000 in supplemental income generated by grants for Income Generating Activities; and
- ◆ 60% of grants demonstrating positive environmental and social impact.

Geographical Scope of COMPASS

COMPASS targets people and institutions engaged in CBNRM initiatives at national, district and local levels. However, during CLIN 0001 (the period up to September 15, 2000) we focussed COMPASS activities in six districts⁴.

This approach has allowed us to test partnership and capacity building models under a range of implementation conditions, while concentrating our efforts within a limited area to facilitate "vertical" linkages between national, district, and local partners. Building on lessons learned in CLIN 0001, COMPASS activities have been subsequently modified. As of January 2001, with approval of the

³ This was presented in the annual workplans for 1999 and 2000 and have been partly modified from those presented in the workplan for 2001.

⁴ Rumphi and Nkhatabay in the Northern Region, Dedza and Ntcheu in the Central Region, and Mangochi and Chikwawa in the Southern Region.

2001 workplan, COMPASS focused on nine Districts⁵. We have retained these same Districts as our targets for the full duration of the COMPASS Activity. Individual Districts will be dropped only if responsiveness and performance is below acceptable levels. We do not anticipate adding more Districts to our list of targets.

The CLIN 0001 focal point districts represented a mix of natural resource endowments, population pressures, and environmental constraints, as well as two distinct levels of existing institutional capacity.

Type 1 districts already have significant CBNRM activities planned or underway. By working in such districts, COMPASS will be able to test various models for facilitating partnerships and coordinating activities between existing national and local CBNRM promoters. These include some of the pilot districts under the UNDP and DANIDA-sponsored decentralization effort, which support the District Development Committees, District Development Funds, District Executive Committees and the proposed or embryonic Area Development and Village Natural Resource Committees. COMPASS will continue to support activities in the CLIN 0001 Districts of Dedza and Nkhatabay and we will build on success in the two Districts added in 2001 – Machinga and Zomba.

Type 2 districts have comparatively little donor activity thereby allowing COMPASS to test models for strengthening the provision of CBNRM extension services in areas that are not currently supported, under conditions that will allow project impacts to be more readily isolated from impacts of other natural resource management interventions. We will continue to work in the CLIN0001 Districts of Chikwawa, Ntcheu and Rumphi. These districts have basic government extension services, a few NGO activities, Village Natural Resources Committees (albeit often non-functioning), and some active or proposed donor activities. In this category we will also continue to build on our CLIN 0002 efforts in Mzimba District.

Our selection of districts has given special consideration to achieving a broad sample of predominant land uses to facilitate testing models in various NRM sectors. In addition, we have attempted to select districts that are geographically close to each other. This will simplify logistical requirements for the field program and should improve synergy among COMPASS-supported activities in different districts. We recognize that not all of the agro-ecological zones of Malawi can be represented in a sample of just nine of 27 Districts. This notwithstanding, we have selected districts that include lakeshore, upland areas and the Shire valley.

To date, COMPASS' involvement with activities in the selected Districts has been mainly with local NGOs and CBOs in identifying best practices and training needs and promoting innovative CBNRM initiatives through the small-grants program. It should be stressed, however, that during 1999 and 2000 COMPASS accepted applications for small grants from qualifying organizations from any District in Malawi - indeed, in 1999 we made a concerted effort to publicize the availability of grants throughout the country. In 2001 we implemented a policy of focusing small-grant activities only in the nine target Districts though a few grants were awarded from other Districts because the proposals exhibited some exceptionally interesting aspects. Our field level activities in 2001 and 2002 had added focus on community mobilization and supporting grass-roots advocacy for policy reform. In all of these efforts, we have worked with District authorities to inform them of COMPASS activities and we will support local efforts to ensure coordination of COMPASS efforts with those of other implementing agencies.

⁵ Rumphi, Nkhatabay and Mzimba in the North; Nkhotakota, Dedza and Ntcheu in the Center; and Machinga, Zomba and Chikwawa in the South.

Monitoring and Evaluation

We believe that a performance-based approach to promoting CBNRM in Malawi is essential to the success of the program. To measure and evaluate the performance of our partners and CBNRM stakeholders, we will rely on a rigorous monitoring system. This system will allow COMPASS staff to build on winning initiatives and take corrective action when results are less successful than anticipated. This adaptive management strategy will facilitate replication of successes and, thereby, expedite achieving the desired results of the COMPASS activity.

The M&E Plan builds upon the Performance Milestone Plans presented for each Targeted Result. The M&E Plan is used to assess project impacts. It contains performance indicators and their corresponding targets. An *indicator* is a measurable gauge of the quality and impact of project activities and outcomes; it helps assess how well activities and outcomes achieve the targeted result. The *target* is the specific measure to be achieved.

An efficient monitoring system must be built around good indicators, cost-effective data collection, rigorous analysis, and efficient reporting procedures. The criteria for selection of good indicators include that they are pertinent and unequivocal; that they are objective and assist in decision making; and that they are readily understandable. Moreover, they should be based on parameters that are quantifiable, and readily measured at a reasonable cost. In most instances, the careful selection of a few pertinent indicators that are easily measured is preferable to having numerous indicators that require complex procedures for data acquisition. Such an approach also fulfills the requirements of USAID/Malawi's annual reporting to USAID/Washington.

COMPASS is committed to providing monitoring information to USAID/Malawi and to our partners that meets the requirements and guidelines outlined in USAID's ADS 200 - particularly ADS 203. As outlined above, we recognize that in attempting to gauge the impact of COMPASS, attribution becomes a complex issue. Numerous organizations including government, NGOs and donors are active throughout the country and many in the same Districts and even the same communities as those in which COMPASS is active. Wherever possible we have identified indicators that we believe will address this issue by focussing on impact that is specific to COMPASS activities.

In preparing this second performance and impact monitoring report we have striven to be both candid and transparent. Wherever appropriate we have discussed issues of data quality and have attempted to account for and explain instances of under-performance relative to our established targets⁶.

Monitoring Critical Assumptions

The attainment of project goals is usually conditional upon certain external factors remaining unchanged or any expected changes occurring as anticipated. These are regarded as assumptions critical to the timely and successful accomplishment of project goals. They must be monitored in order to ascertain whether any failure to achieve project objectives is the result of internal, manageable factors or uncontrollable, external forces. We have identified six critical assumptions that relate to political, legislative and financial support for CBNRM in Malawi and COMPASS in particular, and two measures of economic and environmental stability (see Table 1). While these are largely qualitative indicators, they provide an overall framework for gauging responsiveness to the CBNRM agenda in Malawi.

⁶ ADS 203.3.2.2 (c) states: Candor and transparency in reporting involves three interrelated actions: (1) assessing the quality of data we use to report progress and stating known limitations; (2) conveying clearly and accurately the problems that impede progress and our efforts to address them; and (3) avoiding the appearance of claiming those results achieved with or by others as our own.

We believe that in each of most of these categories the current situation is deteriorating and compromising our ability to meet COMPASS objectives. Government support for the Ministry of Natural Resources and Environmental Affairs has weakened as the fewer available financial resources have been channeled to other sectors (see, for example, COMPASS Document 39 – *Coordination of CBNRM in Malawi: Financing Options*). Legislation supportive of CBNRM is strong though we note with some concern that few of the natural resource sectors have acted on the opportunities for implementing CBNRM that the laws provide. Fisheries regulations and bylaws for Lake Chilwa still have not received departmental and ministerial approval despite being finalized in July 2001. The Forestry Department despite the provisions of the Forestry Act and the efforts of the National Forestry Programme has made little progress on co-management. In the wildlife sector, a policy that is founded on the principles of co-management is yet to see any implementation. Recent indications are that the DNPW will now stonewall on co-management in the same way as Fisheries and Forestry. Donor support for CBNRM has waned considerably during the past 12 months. Nearly all of the programs supported by the World Bank, and GTZ have been scaled down or significantly modified, reducing opportunities for direct interventions with rural communities. The Lower Shire Protected Areas Project (World Bank) and NARMAP and the Border Zone Development Project (both GTZ) are in the final few months. DANIDA's pullout from Malawi in early 2002 has seriously compromised the Government of Malawi's ability to implement the Environmental Management Act and Decentralization policy. The level of future support from the European Union and DfID remains unclear but initial indications are that each donor may reduce its support to the natural resources sectors in favor of social welfare and humanitarian programs. Nevertheless, support for COMPASS from USAID⁷ and the Government of Malawi has been very strong.

In terms of measures of economic and environmental stability, the current situation is dire. Despite a strengthening of the Malawi Kwacha in 2001, weak foreign currency earnings (and donations) have in late 2002 resulted in a weakening to below 2000 levels. This does not augur well for household incomes because the maize shortage will require import of maize and a transfer of the "higher" priced commodity to consumers.

Following a poor maize harvest in 2001, a shortfall of between 600,000 and 700,000 in maize production in 2002 owing to a mild drought in the first quarter has led to serious famine in many areas. The situation will become severe in the last quarter of 2002 and the first quarter of 2003. This has created severe economic hardship in many rural areas and people's need to exploit natural resources to generate income has increased concomitantly. Circumstantial evidence in increased charcoal production and poaching of fish and wildlife may well have been a direct response to these pressures⁸.

With regard to indicators of environmental stability, climatic conditions have not been conducive to a good maize harvest and local aberrations in rainfall patterns have occurred. The 2001/2002 season again saw severe flooding in several parts of the country. The scourge of HIV/AIDS is worsening. Infection rates indicate that close to 40% of the sexually active population may be HIV-positive. Figures published in 2001 by the National AIDS Control Programme indicate that some 500,000 have died already and that another 1,000,000 are likely to die by 2012. Currently, some 70,000 deaths annually have been attributed to AIDS. The number of AIDS orphans is reported to be approaching two million: close to 20% of the population. This means that nuclear family sizes are increasing and, thereby, putting greater pressure on natural resources that are essential for poor rural households. Even more significantly, a large percentage of the younger

⁷ USAID's Contractor Performance Report on COMPASS dated November 9th 2000 provides a composite rating of 84% (excellent to outstanding).

⁸ The government did not "advertise" the fact that, as always, the fishing season on Lake Chilwa would be closed from November to April. As a result of this "oversight" local leaders and local communities ignored the law and fished the lake throughout the breeding season.

generation are growing up in households that cannot afford to provide children with the basic educational needs that could help them break free of the trap of rural poverty.

While the economic, social and environmental situation is worsening, it is unclear at this time whether this is having a direct detrimental impact on natural resources or whether it is increasing awareness of the need to improve management of those resources. Presumably both are occurring.

Project-Specific Performance and Impact Monitoring

For each of the five COMPASS TRs and their respective SRs, we have identified indicators and targets that allow periodic assessments of performance toward achieving project goals and objectives. Performance indicators enable us to gauge our progress in completing proposed project activities. In contrast, impact indicators enable us and our partners to gauge our success in institutional capacity building, information exchange and knowledge transfer, policy reform and income generation from environmentally sustainable practices. The information presented in this report is described in greater detail in COMPASS Document 8 - *Performance Monitoring for COMPASS and for CBNRM in Malawi*.

In addition to the TR-specific indicators, we have also identified two overarching indicators designed to gauge COMPASS impact (Tables 2 and 3). To ascertain the number of communities that have adopted CBNRM practice as a result of COMPASS activities, we have calculated the number of communities actively involved in CBNRM as a result of participating in COMPASS small-grant initiatives and the number of groups that have put COMPASS training into practice. These figures include communities that are former beneficiaries of COMPASS grants or training that are still actively involved in CBNRM.

In order to determine the percentage of customary land that is under improved management, we asked the Environmental District Officers (EDOs) in each of the target Districts to provide data and an assessment of its accuracy. We have then determined a mean figure for all the target Districts based on the total area under improved NRM as a percentage of the sum total area of customary land in these Districts. These data have been supplemented with published information such as socio-economic profiles when available. In comparing the figures for 2002 with those for 2001, it is worth noting that in five Districts where more accurate data are available (as indicated by strong supporting data from Forestry and Agricultural Officers), the estimated average percentage of land under improved management fell from about 26% to about 6%. Only in Nkhonkhotakota District did the EDO's estimate show a significant increase the area land under improved management (from 7% to 18%). The Nkhonkhotakota EDO is new and we believe that he has overestimated the area under improved management.

We still believe that some of these estimates are too high and that in future years they will decrease a little more as District offices have access to better data. For our 2000 report we reduced the overall estimate from 30% (based on EDOs' reports) to 20%. For 2001, we adopted a conservative estimate of 10% of the customary land in the target Districts being under improved management rather than the mean estimate of 18%. We did this because if we used only the figures from the six Districts where we have "hard" data, the figure drops below 10%.

For calculating the mean figure for 2002, we have used the current data available from six Districts. We regard this as accurate data that has good supporting data. For Nkhatabay and Rumphu we have used 2001 data, which again is well-supported by field data. For Nkhonkhotakota we have used the 2002 figure in calculating the overall mean percentage of customary land under improved natural resource management in the nine COMPASS Districts. If we use the lower but more accurate 2001 figure for calculating the overall mean the figure falls to 5.2%

Summary of Land Tenure and NRM Adoption in COMPASS Target Districts

District	Total Area (ha) (Department of Surveys and Districts)	Area of Customary Land		% of customary land under improved NRM ⁹	Sources of data
		ha (estimates in parentheses)	% of total (estimates in parentheses)		
Chikwawa	471,957	312,278	66.2	4.9	EDO based on Forestry and Agriculture reports
Dedza	355,512	273,213	76.9	6.6 ¹⁰	EDO based on Forestry and Agriculture reports
Machinga	377,100	282,825	75	5 ¹¹	EDO's estimate based on adoption rates, Socio-economic Profile and Forestry reports
Mzimba	1,048,241	(730,000)	(70)	4.1	EDO based on Forestry and Agriculture reports
Nkhatabay	440,247	306,100	69.5	2.2	2001 figures from ADD field staff
Nkhotakota	435,800	126,193	29.1	18.8 ¹²	EDO based on Forestry and Agriculture reports
Ntcheu	322,484	(270,000)	(85)	9.8	EDO based on Forestry and Agriculture reports
Rumphi	459,950	215,350	46.9	5.7	2001 figures from Forestry Officer, Land Husbandry Officer, and EDO
Zomba	442,757	382,757	86.4	4.5	EDO and Land Husbandry Officer
Total/mean	4,354,048	2,850,069	70 (mean)	5.7 ¹³	

Revisions to COMPASS Impact and Performance Monitoring Plan for 1999/2000

COMPASS Document 25 - *COMPASS Performance and Impact: 1999/2000* - reported progress made towards accomplishing the goals and targets established in Document 8 - *Performance Monitoring for COMPASS and for CBNRM in Malawi* - up to September 30th 2000. It was noted that performance had considerably better than anticipated with regard to the two overall impact indicators that were defined. With regard to the number of communities adopting CBNRM practices as a result of COMPASS activities, we had a FY 2000 target of 20 and a five-year target of 200. Our actual figure for FY2000 was originally reported as 244. Similarly, with regard to the percentage of customary land under improved natural resource management in COMPASS target Districts our FY2000 target was 5% and the reported actual figure was 20%. In view of these significant divergences from our original targets, we felt that it was appropriate to revise the

⁹ As of January 20th 2003, COMPASS had not received the requested FY 2002 information from Nkhatabay and Rumphi.

¹⁰ If contour ridging is included the figure rises to 24.7%

¹¹ 195 or 882 villages have natural resource management committees (about 22%) but adoption rates are lower.

¹² This figure is regarded as being too high. The 2001 figure was 7.2%.

¹³ If the 2001 figure for Nkhotakota is used, the calculated mean becomes 5.2%

annual targets for these two indicators. In addition, we believed that it was necessary to redefine our precise description of the first of the two indicators.

1 - Communities adopting CBNRM

The original indicator definition for the number of communities adopting CBNRM practices as a result of COMPASS activities stated that *CBNRM practices may include adoption and/or implementation of a CBNRM action plan, best practice in forest management, wildlife conservation, soil management, sustainable agriculture and so on.* In 2001 we qualified this by stating that the *CBNRM practices **must** include implementation of a CBNRM action plan sanctioned by a community institution that represents the interests of the community as a whole. The action plan might incorporate best practices in forest management, wildlife conservation, soil management, or sustainable agriculture, etc.* In addition, we noted that while most of the communities with which COMPASS works are rural villages, in some urban or peri-urban settings we are dealing with one or more discrete communities within a conurbation. In most cases, therefore, our indicator will report number of villages adopting CBNRM but we have retained the word "communities" in the descriptor because this provides a broader definition that is more appropriate to our intent.

The 457 communities that we report as having implemented improved natural resource management practices in 2002 are made up of 368 communities where COMPASS small-grant activities are being implemented and 89 communities where training has resulted in implementation of improved natural resource management practices.

In 2001 we also revised the annual targets for this indicator based on the impact COMPASS had during 1999/2000 and 2000/2001. Our five-year target was raised from 200 to 400 with an annual increment of 100 in years one to three and 50 in years 4 and 5. Since most of our impact is through the COMPASS small-grants program, we believe that annual increment will decline in years 4 and 5 as grant funds are exhausted and new awards cease, probably in late 2002.

2 - Customary land under improved management

With regard to our original indicator, we feel that the definition and five-year target remains valid. Nevertheless, in 2001 we felt that our original baseline (1999) and interim targets required revision. Our approach to data collection using Environmental District Officers and their colleagues in the COMPASS focal Districts runs the risk of under or over reporting in Districts where there is a shortage of rigorous quantitative data and when the individual EDO in a District changes. The new EDO may not be fully apprised of the available data sources or may have a different understanding of the indicator or perception of the landscape.

In 2001 we felt that our 1999 baseline of less than 3.0% of the customary land in our six original focal Districts was unduly pessimistic. In discussions with the EDOs in five of these Districts plus our four additional focal Districts (as of January 1st 2001), we felt that a better estimate of the 1999 baseline is about 10% or less. In 2001 we escalated our annual targets by 5.0% in the first three years and 10% in years 4 and 5. We believe that a multiplier effect will occur in years 4 and 5 as the number of adopter-communities increases.

Our revised target for FY2000 became 15% while our actual FY2000 estimate was 20%. We stated in Document 25 (pp. 5 - 6) that we felt that the FY2000 estimates provided by EDOs were overly optimistic but we were not willing to lower them significantly in the absence of a strong justification for doing this. In effect, we felt that only a small increase in the FY2001 estimate was likely to occur as the EDOs and other District Officers gained a fuller understanding of the indicator definition and its implications. At the time, we felt that a target of 20% in FY2001 and a five-year target of 40% were appropriate and realistic. As the data provided by the Districts improves as a result of better data collection techniques, we again found it necessary to qualify

our reported figures in 2001: based directly on hard data and estimates, the mean percentage of customary land under improved management was 18% in 2001 but a more realistic figure based on “hard” data was 10%. Similarly, for 2002 we have adjusted the calculated mean figure downward to take into account an apparently aberrant figure obtained from the new EDO in Nkhosakota. This notwithstanding, we now have strong data supported by good field evidence from six of the nine Districts for 2002 and similarly strong data for the other three Districts for 2001.

The COMPASS assessment that was conducted in late 2001 and completed in early 2002 (COMPASS Document 44 – *COMPASS Assessment: 2001*) pointed out that there is a considerable body of data that suggests that certainly less than 10% of customary land and perhaps less than 3% can be said to be under truly improved management. The consultants that undertook the assessment made a strong recommendation to reduce the target¹⁴. At this time, we have not made this adjustment though based on 2002 data such an amendment appears to be warranted.

Overarching CBNRM Impact Monitoring

Overarching impact indicators allow monitoring of COMPASS and CBNRM initiatives’ impact on fundamental environmental and socioeconomic conditions. Indicators that are closely linked to annual performance goals may be too narrowly focused to provide an assessment of these broader objectives. We have selected two overarching indicators that will help gauge the impact of CBNRM on rural incomes and natural resource management. In addition, COMPASS is collaborating with the CBNRM Working Group to develop a system for monitoring the impact of CBNRM in Malawi. A provisional framework for this and some illustrative indicators are presented in COMPASS Document 8 - *Performance Monitoring for COMPASS and for CBNRM in Malawi*. We anticipate that the CBNRM monitoring plan will be implemented during 2002 with the first report being made to the National Council for the Environment in early 2003.

COMPASS’ focus on leveraging existing resources and facilitating partnerships to increase the impact of other CBNRM initiatives in Malawi presents a special challenge in monitoring. In many cases, it is not possible to isolate (single out) our impacts from those of our partners. We note that the desire to demonstrate project impacts may, in some instances, create a disincentive for partnerships. We have addressed this, in part, by focusing our activities in two distinct implementation settings – one in which there are many different partners implementing complementary CBNRM initiatives and one in which there are fewer existing partners. This represents a technically sound model and should assist in isolating the impact of COMPASS.

¹⁴ The report notes (p. 31) that: COMPASS has set itself a major target of having 40% of customary land under improved natural resource management in its target districts by the end of its project life. This mission believes that COMPASS should seriously reconsider this goal as a primary target of its effectiveness. The extractive and exploitative management of Malawi’s environment by the rural population is driven by the shortage of land for agriculture, the inadequacy of the existing resource base for providing the fuel and timber requirements of the population on a sustainable basis and the poverty which limits households’ ability to improve on their land management and which drives them to exploit their few natural resources for survival.

The current situation is that farm size is declining, the woodland resource base is getting poorer and rural poverty is getting deeper. Under these circumstances it is difficult to see how the rural population is going to reverse the trend of recent years on the massive scale envisaged by COMPASS. Both empirical evidence and casual observation point to the fact that the proportion of customary land under improved natural resource management on farms and woodland is declining and not increasing. By holding up this target as a major goal of its work COMPASS risks the danger of being considered out of touch with the realities of the environmental situation in its target districts.

Monitoring Small Grant Financial Initiatives

Given that the COMPASS Small Grants Program was established to finance innovative CBNRM models, it is particularly important that grant recipients participate in the development and implementation of an appropriate M&E plan to be able to assess objectively their performance and impact.

It is essential that procedures are neither complex nor time-consuming. For example, if the number or area of new tree plantings is to be reported, this can be recorded once a year at the end of the planting season. At another time of year, the completion of other on-farm activities such as measures for controlling soil erosion or improvements in infrastructure can be recorded. COMPASS has established guidelines for participatory monitoring by recipients of COMPASS grants and these have been translated into Chichewa. In 2000, COMPASS organized a 10-day training course for all grantees and several prospective grantees on how to develop and implement monitoring systems that meet the requirements of grant recipients.

The role of COMPASS staff is one of initially training of partners and community groups followed by periodic collection of data from grantee reports, synthesis and analysis of data, and reporting to end-users such as USAID and the CBNRM Working Group. COMPASS staff also has a role in ensuring the completeness and accuracy of data collected by grantees and other program beneficiaries.

Community-based approaches have been established for collecting data pertaining to gender-specific indicators. These include women's participation in decision-making, access to land, participation in training programs, and so on. This is critical because women are often most affected when natural resources are depleted: it is women that have to spend more time and expend more energy fetching clean water and collecting firewood and thatching grass. By monitoring participation indicators in a disaggregated manner, it has become somewhat easier to assess the positive and negative impacts of project activities on women and children, such as their participation rates, amount of time devoted to project activities, and impacts on other uses of their time. We believe that community members have become more aware of how the project affects different target groups in different ways and can actively seek ways to mitigate negative impacts.

COMPASS staff members are available to work with grant recipients to design, implement and review the monitoring systems. We acknowledge that one of the main reasons for insisting that each grantee implements a performance and impact monitoring system is to enable COMPASS draw lessons from grantee experience and then disseminate this information to our partners and other grantees. This notwithstanding, the monitoring systems play a dual role: they are also intended to improve management of the grants and grant-funded activities by the recipients. To ensure that this objective is met, the COMPASS team is always available to assist grantees undertake participatory reviews based on the monitoring systems. Through these reviews, we hope to instill many of the principles and techniques of adaptive management into the organizations that we work with and support.

TABLE 1 - MONITORING AND EVALUATION: CRITICAL ASSUMPTIONS

Critical assumptions						
Indicator	Government support for environmental management initiatives	Legislative support for CBNRM	Financial support for CBNRM	Support for COMPASS	Economic stability	Environmental stability
Indicator Definition	Government of Malawi support for MoNREA remains strong: stable funding, staffing levels, and mandate	Government of Malawi implements laws and develops policies that are supportive of CBNRM	Financial support from the Government of Malawi and donors for CBNRM initiatives remains adequate	Government of Malawi and USAID support for COMPASS is maintained over the duration of the activity	Economic conditions in Malawi remain conducive to CBNRM with no significant deterioration in rural incomes	Environmental conditions in Malawi remain conducive to CBNRM with no significant deterioration in climatic trends, population patterns
Unit of Measurement	Various	Qualitative	Malawi Kwacha	Qualitative	Qualitative	Qualitative
Data Source	EAD	EAD	CBNRM coordinating body and Secretariat, donors	USAID and CBNRM coordinating body	Various	Various
Method/Approach of Data Collection	Review	Review	Review	Review	Review	Review
Schedule/Frequency	Annual	Annual	Annual	Annual	Annual	Annual
Data Collection: Responsible Office	COMPASS	COMPASS	COMPASS	COMPASS	COMPASS	COMPASS
Data Regularly Available?	Yes	Yes	Yes	Yes	Yes	Yes
Reporting	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS
End-users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users

TABLE 2: MONITORING AND EVALUATION: IMPACT INDICATORS

ACTIVITY OBJECTIVE: INCREASED ADOPTION OF CBNRM PRACTICES		
	Overall Impact	Overall Impact
Indicator	Number of communities adopting CBNRM practices as a result of COMPASS activities	Percentage of customary land under improved natural resource management in COMPASS target Districts
Indicator Definition	CBNRM practices must include implementation of a CBNRM action plan sanctioned by a community institution that represents the interests of the community as a whole. The action plan might incorporate best practices in forest management, wildlife conservation, soil management, or sustainable agriculture, etc.	Proportion of customary land upon which community-based management of natural resources is practiced relative to the total area of customary land in the District(s).
Unit of Measurement	Number of communities	Percent
Data Source	District authorities/EAD/COMPASS grantees	District authorities/EAD/COMPASS sub-grantees
Method of Data Collection	Review of records, survey	Review of records, survey
Frequency	Annually	Annually
Reporting	Annually	Annually
End-users	USAID and other donors, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body

TABLE 3: MONITORING AND EVALUATION: REVISED IMPACT TARGETS

COMPASS RESULT	Overall Impact	Overall Impact
Increased Adoption of CBNRM Practices	Number of communities adopting CBNRM practices as a result of COMPASS activities	Percentage of customary land under improved natural resource management in COMPASS target Districts
Target*	400	40%
Baseline Data	0	<10%
FY2000 Target	100	15%
FY2000 Actual	171¹⁵	20%
FY2001 Target	200	20%
FY2001 Actual	315	18%¹⁶
FY2002 Target	300	25%
FY2002 Actual	457	5.2%¹⁷
FY2003 Target	350	30%
FY2003 Actual		
FY2004 Target	400	40%
FY2004 Actual		

* Targets for the entire PMP are cumulative unless noted otherwise.

¹⁵ This figure has been revised from 244 reported in the 1999/2000 Performance Review based on a redefinition of the indicator descriptor.

¹⁶ If we use data only from those Districts where estimates are based on sound field assessments, the figure drops to 10%.

¹⁷ This mean is based on strong 2002 data from six Districts and good 2001 data from the other three. We have opted not to use suspect 2002 data from Nkhotakota but rather the 2001 information that has strong supporting data.

TR1: Effective CBNRM Administration and Technical Services Capacity Established

Overall Impact

As of September 2001, 24 Districts had completed their District Environmental Action Plans (DEAP) (EAD, pers. com.). These represent the 11 of the 12 Districts that have received DANIDA support for the DEAP process¹⁸. DEAPs have been completed for 13 of the 15 remaining Districts: these receive UNDP support through the ENRM and Capacity 21 programs. Two Districts, Chiradzulu and Nsanje, have yet to finalize their DEAPs.

Sub-Result 1A

The CBNRM Working Group has now finalized the CBNRM monitoring plan based on the Strategic Plan for CBNRM in Malawi. The first report to the National Council for the Environment is anticipated early in 2003.

Sub-Result 1B

During 2002 the COMPASS ListServ was expanded to 182 addressees of which 145 are based in Malawi and 37 in the SADC region. The ListServ comprises 7 discrete groups: NGOs (35), Government Departments and agencies (28), the media and educational organizations (14), donor organizations (12), projects and programs (36) and a separate group of regional partners (37). Using the COMPASS ListServ we asked our partners to verify and, if necessary, update the information contained in the 2002 COMPASS ListServ Directory. To date 45 partners have responded and we take this as a measure of "active" participation. Their responses will be compiled in an updated Partner Directory to be circulated electronically to the ListServ members and in hardcopy to other potential partners that do not have access to the Internet.

Sub-Result 1C

The National Council for the Environment approved the Strategic Plan for CBNRM in Malawi on November 14th 2001.

¹⁸ Chitipa, Karonga, Rumphi, Nkhatabay, Nkhotakota, Salima, Dedza, Mangochi, Machinga, Zomba and Phalombe but not Likoma.

TABLE 4: TR1 INDICATORS

TARGETED RESULT 1: Effective CBNRM administrative and technical services capacity established				
	Overall Impact	Sub-Result 1A: CBNRM coordinating body and Secretariat operational	Sub-Result 1B: Relationships among CBNRM Programs strengthened	Sub-Result 1C: National CBNRM Strategic Plan implemented
Indicator	Number of Districts with CBNRM action plans incorporated into the District Environmental Action Plans	Production of annual assessment of CBNRM	Number of active members in COMPASS Partnership Association	Establishment of national CBNRM strategic planning process
Indicator Definition	Number of administrative Districts that have incorporated specific CBNRM approaches for achieving objectives within their Environmental Action Plan	Production and dissemination of an annual CBNRM assessment by the CBNRM Working Group	Active members are defined by organizations that participate in at least one of the following: <ul style="list-style-type: none"> • COMPASS meetings and workshops, • training courses, • posting notices on COMPASS ListServ, • publishing lessons learned. 	Progress as defined by the following criteria: <p>CBNRM monitoring procedures developed and implemented.</p> <ul style="list-style-type: none"> • Guidance on pursuing equitable geographical and socio-economic scope for CBNRM practices designed. • Inter-sectoral collaboration achieved. • Effective stakeholder input.
Unit of Measurement	Number of Districts	Annual CBNRM assessment	Number of organizations	Percent of criteria achieved
Data Source	District authorities/EAD	CBNRM Working Group	COMPASS	CBNRM Working Group
Method of Data Collection	Review of Action Plans	Review of records	Review of records	Audit
Frequency	Annually	Annually	Annually	Annually
Reporting	Annually	Annually	Annually	Annually
End-users	USAID and other donors, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body	USAID, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body

TABLE 5: TR1 TARGETS

TARGETED RESULT	Overall Impact	Sub-Result 1A: CBNRM coordinating body and Secretariat operational	Sub-Result 1B: Relationships among CBNRM Programs established	Sub-Result 1C: National CBNRM Strategic Plan implemented
TR 1: Effective administrative and technical services capacity established	Number of Districts with CBNRM components incorporated into the District Environmental Action Plans	Annual assessment of CBNRM produced.	Number of active members in COMPASS Partnership Association	Establishment of Strategic Plan
Target	27	Production of annual CBNRM assessment	100	100% of criteria
Baseline Data	0	0	0	0
FY2000 Target	9	Production of annual CBNRM assessment	40	100% of criteria
FY2000 Actual	6 well advanced	No	31	Draft approved by CBNRM Working Group
FY2001 Target	15	Production of annual CBNRM assessment	60	100% of criteria
FY2001 Actual	12 final, 2 close	No	39	100%
FY2002 Target	21	Production of annual CBNRM assessment	80	100% of criteria
FY2002 Actual	24	No	45	100%
FY2003 Target	27	Production of annual CBNRM assessment	100	100% of criteria
FY2003 Actual				
FY2004 Target	27	Production of annual CBNRM assessment	100	100% of criteria
FY2004 Actual				

TR2: Efficient Liaison, Communication and Information Exchange Mechanisms among CBNRM Programs Established

Overall impact (1)

14 partners responded to the COMPASS Customer Survey. 90 per cent of the respondents rated COMPASS information exchange and liaison as good to excellent. More than 95 per cent of the respondents indicated having visited the COMPASS resource center and/or website.

Overall impact (2)

95 per cent of the respondents to the COMPASS Customer Survey were able to name CBNRM best practices and approaches.

Sub-Result 2A

COMPASS maintains a detailed record of COMPASS website traffic. Over the year there were 20,795 hits. We have also tracked the number of visits to the site (a better gauge of the number of people genuinely using the site). The total number of visits during the same period was 7,899. The average visitor spent between 9 and 11 minutes on the site during each visit.

Sub-Result 2B (1)

COMPASS maintains a record of daily newspaper articles.

Sub-Result 2B (2)

Based on a record of radio programs aired by MBC, we estimate that there has been an average of 2 programs aired every week during the reporting period. 101 FM Radio also aired at least 1 forestry program daily. We hope that this number will increase during the 2002/2003 now that COMPASS will launch CBNRM radio programs on 102.5 FM Capital Radio and MBC.

Sub-Result 2B (3)

Nantchegwa magazine continues to be published by Wildlife and Environmental Society of Malawi. WESM branches also publish branch newsletters, which are distributed to schools. Records of distribution are maintained by WESM and shared with COMPASS.

Sub-result 2C (1)

The National Council for the Environment's CBNRM Working Group is organizing the second national conference on CBNRM in November 2002. The conference will provide a forum for all stakeholders to review progress made in the implementation of the CBNRM Strategic Plan (COMPASS Document 35 - *Strategic Plan for CBNRM in Malawi*).

Sub-result 2C (2)

COMPASS maintains a record of library visits and list of request for COMPASS documentation. Demand for COMPASS publications has increased with more requests from our key partners.

TABLE 6: TR2 INDICATORS

TARGETED RESULT 2: Efficient liaison, communication and information exchange mechanisms among CBNRM Programs established				
	Overall Impact	Sub-Result 2A: CBNRM computer information network expanded	Sub-Result 2B: Public awareness campaign intensified	Sub-Result 2C: Relationship among CBNRM programs strengthened
Performance Indicator	<ol style="list-style-type: none"> 1. Percent of CBNRM service providers and practitioners that rate COMPASS information exchange and liaison as good to excellent. 2. Percent of CBNRM service providers and practitioners that can name CBNRM best practices and approaches. 	Number of "hits" on COMPASS website	<ol style="list-style-type: none"> 1. Number of articles on CBNRM appearing in key newspapers. 2. Number of radio and television programs on the environment. 3. Number of wildlife clubs with environmental education materials. 	<ol style="list-style-type: none"> 1. Number of participants at annual CBNRM conference. 2. Number of users of COMPASS library
Indicator Definition	<ol style="list-style-type: none"> 1. Service providers to include NGOs, CBOs, and government. 2. Best practices to include forest management, wildlife, water conservation, fisheries, and soil management. 	Continuous count of the number of times an internet user enters the COMPASS website	<ol style="list-style-type: none"> 1. The Daily Times, Nation, Malawi News, and Saturday Nation. 2. Malawi Broadcasting Corp., and Television Malawi 3. Wildlife Clubs 	<ol style="list-style-type: none"> 1. Number of participants at annual CBNRM conference, disaggregated by gender. 2. Number of users per month
Unit of Measurement	Percent	Number	Number	Number
Data Source	COMPASS	COMPASS	COMPASS and Partners	COMPASS and CBNRM Secretariat
Method/Approach of Data Collection	Survey	Review of records	Audit	<ol style="list-style-type: none"> 1. Conference proceedings. 2. User logs for library
Schedule/Frequency	Annually	Monthly	Monthly	<ol style="list-style-type: none"> 1. Annually 2. Monthly
Reporting	Annually	Quarterly	Quarterly	<ol style="list-style-type: none"> 1. Annually 2. Quarterly
End-users	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID

TABLE 7: TR2 TARGETS

TARGETED RESULT	Overall Impact	Sub-Result 2A: CBNRM computer information network expanded	Sub-Result 2B: Public awareness campaign intensified	Sub-Result 2C: Relationship among CBNRM programs strengthened
TR 2: Efficient liaison, communication and information exchange mechanisms among CBNRM Programs established	1. Percent of CBNRM service providers and practitioners that rate COMPASS information exchange and liaison as good to excellent. 2. Percent of CBNRM service providers and practitioners that can name CBNRM best practices and approaches for forest management, wildlife, water conservation, fisheries, and soil management.	Number of "hits" on COMPASS website.	1. Number of articles on CBNRM appearing in key newspapers and magazines. 2. Number of radio and television programs on the environment. 3. Number of schools reached through COMPASS environmental education materials.	1. Number of participants at Annual CBNRM Conference. 2. Number of users of COMPASS library per month
Target	1. 90% 2. 90%	60 hits/month	1. 9 news articles/week 2. 8 3. 2000	1. 120 participants 2. 15 users/month
Baseline Data	1. 0 2. 0	0	1. <.5 news articles/week, 2. 2 3. 0	1. 0 2. 0
FY2000 Target	1. 50% 2. 30%	20 hits/month	1. 2 news articles/week, 2. 3 3. 200	1. 40 participants 2. 0 users
FY2000 Actual	1. TBD 2. TBD	60 hits/month	1. 1 news article/week 2. 2 radio programs/week 3. 3,500-4,000	1. 0 2. 2 users/month
FY2001 Target	1. 60% 2. 50%	30 hits/month	1. 4 news articles/week, 2. 5 3. 1000	1. 60 participants 2. 5 users/month
FY2001 Actual	1. 70%	1,160 hits/month (450	1. 3 news articles/week,	1. 83 participants

	2. 90%	visits/month)	2. 2 3. 3,500-4,000	2. 8 users/month
FY2002 Target	1. 70% 2. 70%	40 hits/month	1. 6 news articles/week, 2. 6 3. 3,500 to 4,000	1. 80 participants 2. 8 users/month
FY2002 Actual	1. 90% 2. 95%	1,733 hits/month (658 visits/month)	1. 4 news articles/week 2. 9 3. 3,500-4000	1. 83 participants invited 2. 21 users/month
FY2003 Target	1. 80% 2. 80%	50 hits/month	1. 8 news articles/week, 2. 7 3. 1800	1. 100 participants 2. 12 users/month
FY2003 Actual				
FY2004 Target	1. 90% 2. 90%	60 hits/month	1. 9 news articles/week, 2. 8 3. 2000	1. 120 participants 2. 15 users/month
FY2004 Actual				

TR 3: Community Mobilization Skills within Government, NGOs and Community Groups Improved

Overall Impact

This figure includes all institutions (NGOs, CBOs and government) that have received support from COMPASS towards improving community mobilization skills through training and exchange visits. There has been tangible improvement in the community mobilization role played by Natural Resource Committees (NRCs) in the management of Protected Areas such as Nyika and Vwaza because of COMPASS support, to cite just one example.

Sub-Result 3A

In all the courses supported by COMPASS, there has been some cost sharing with partners. COMPASS partners from government agencies have mostly contributed vehicles and logistical support; CBO contributions have mostly been in kind, while NGOs co-financed certain costs and provided transport. Again, there were 6 categories of training courses that were supported this year (Collaborative Management, CBO Organizational Development, smallholder fish farming, governance in the fisheries sector, CBNRM and environmental education) with a total of 19 courses conducted. Each partner could conduct between one and four training courses with COMPASS support per category depending on the number of target beneficiaries.

Sub-Result 3B (1)

The target was exceeded because the training support given was tailored at addressing a situation affecting a larger target group. For example, courses on Collaborative Management have been targeting all NRCs around Vwaza and Nyika Protected Areas (about 63NRCs with 10 participants from each NRC). Leaving some NRCs untrained would be counterproductive to the effort of enhancing community participation in managing wildlife in the protected areas. It should also be noted that the total number of people trained in 2002 (residential and village-based) is 1014 (642M, 346F). However, some training initiatives were building on what was started in FY 2001 with the same people and therefore only new participants have been added to the table to avoid double counting. The figure on the table also excludes a total of 222 men and 254 women that were trained by International Eye Foundation with COMPASS funding using the village-based approach. If these numbers were to be incorporated, the percentage of female beneficiaries would increase.

Sub-Result 3B (2)

Almost all COMPASS CBNRM training programs were rated 4 and above (very good to excellent) by participants during end of course evaluations providing a strong indication that they addressed the needs and expectations of the participants.

Sub-Result 3C

Twenty-eight best practices have been documented. Three additional best practice write-ups are in draft form and will be ready before the end of the year bringing the total number of CBNRM best practices by the end of year 2002 to 31.

Sub-Result 3D (1)

This year for the first time, COMPASS supported a regional exchange visit involving Njobvu Cultural Village Lodge members near Liwonde National Park visiting community eco-tourism establishments near South Luangwa National Park in Zambia.

Sub-Result 3D (2)

After each exchange visit, participants submit a written report to COMPASS on their experiences during the visit, including their plans on how they will apply the knowledge gained. In general, participant' have rated the visits as very educative.

Sub-Result 3D (3)

COMPASS has developed a training and exchange visit questionnaire for evaluating these activities. It is completed by participants and helps COMPASS assess what has been done after the training or exchange visit. This is complemented with follow-up visits to the sites by COMPASS and extension workers from partner organizations for physical observation of what is happening on the ground and for holding discussions with participants.

TABLE 8: TR3 INDICATORS

TARGETED RESULT 3: Community mobilization skills within government, NGOs and community groups improved					
	Overall Impact	Sub-Result 3A: CBNRM training program designed for all interested parties	Sub-Result 3B: Training delivered	Sub-Result 3C: CBNRM best-practices identified	Sub-Result 3D: National CBNRM exchange program developed
Performance Indicator	COMPASS collaborators, (particularly NGOs, CBOs, and government) demonstrating improved community mobilization skills through COMPASS support	Number of co-sponsored training programs.	1. Number of COMPASS trainees 2. Level of satisfaction of COMPASS training.	Number of best practices identified in key CBNRM sectors.	1. Number of participants in exchange programs. 2. Level of satisfaction of COMPASS exchange program. 3. Result from exchange program.
Indicator Definition	Improvements to include the following: <ul style="list-style-type: none"> • Basic skills in training, extension, community mobilization; • Technical skills in natural resources management; • Business skills for natural resource enterprises. 	Number of CBNRM training programs that have attracted funding from more than one source or have promoted cost sharing. Cost sharing may include co-financial of training with other donors or the government, or in-kind contributions from communities, NGOs, or government.	1. Number of individuals trained in CBNRM techniques directly through COMPASS programs, disaggregated by gender. 2. Percent of trainees who rate COMPASS training as useful for CBNRM in course evaluation.	Best practices to be developed in forest management, wildlife conservation, sustainable agriculture and soil erosion, water conservation, fisheries, etc.	1. Number of participants in exchange programs, disaggregated by gender 2. Percent of participants who rate exchange visits as useful for CBNRM in course evaluation 3. Percent of participants reporting adoption of new CBNRM practice as a result of exchange visit.
Unit of Measurement	Number	Number	1. Number 2. Percent	Number	1. Number 2. Percent 3. Percent
Data Source	COMPASS partners	COMPASS	COMPASS, NGOs	COMPASS, CBNRM Secretariat	COMPASS
Method/Approach of	Assessment	Review of reports	Review of reports, course	Review of records	Review of reports, course

Data Collection			evaluation		evaluation, surveys
Schedule/Frequency	Annually	Annually	Quarterly	Quarterly	Quarterly and annually
Reporting	Annually	Annually	Quarterly	Quarterly	Quarterly
End-users	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners

TABLE 9: TR3 TARGETS

TARGETED RESULT	Overall Impact	Sub-Result 3A: CBNRM training program designed for all interested parties	Sub-Result 3B: Training delivered	Sub-Result 3C: CBNRM best-practices identified	Sub-Result 3D: National and regional CBNRM exchange program developed
TR 3: Community mobilization skills within government, NGOs and community groups improved	COMPASS collaborators, (particularly NGOs, CBOs, and government) demonstrating improved community mobilization skills through COMPASS support	Number of CBNRM training programs that have attracted funding from more than one source or have promoted cost-sharing	1. Number of individuals trained in CBNRM techniques directly through COMPASS programs, disaggregated by gender 2. Percent of trainees who rate COMPASS training as useful for CBNRM in course evaluation	Number of best practices identified in key CBNRM sectors.	1. Number of participants in exchange programs, disaggregated by gender 2. Percent of participants who rate exchange visits as useful for CBNRM in course evaluation 3. Percent of participants reporting adoption of new CBNRM practice as a result of exchange visit.
Target	55	40	1. 600 (50% M, 50% F) 2. 80%	42 best practices	1. 300 (50% M, 50% F) 2. 80% 3. 25%
Baseline Data	0	0	1. 0 2. 0	0	1. 0 2. 0% 3. 0%
FY2000 Target	10	8	1. 120 (50% M, 50% F) 2. 80%	10 best practices	1. 30 (50% M, 50% F) 2. 80% 3. 25%
FY2000 Actual	11	10	1. 344 (72% M, 28% F) 2. 95%	13 best practices	1. 101 (64% M, 36% F) 2. 100% 3. 40%
FY2001 Target	20	18	1. 270 (50% M, 50% F) 2. 80%	20 best practices	1. 90 (50% M, 50% F) 2. 80% 3. 25%
FY2001 Actual	22	18	1. 846 (74% M, 26% F) 2. 95%	19 best practices	1. 304 (61% M, 39% F) 2. 100%

					3. 40%
FY2002 Target	40	28	1. 420 (50% M, 50% F) 2. 80%	30 best practices	1. 180 (50% M, 50% F) 2. 80% 3. 25%
FY2002 Actual	48	29	1. 1206 (80%M, 20%F)	28 best practices	1. 395 (56%M, 44% F) 2. 100% 3. 80%
FY2003 Target	50	38	1. 570 (50% M, 50% F) 2. 80%	40 best practices	1. 270 (50% M, 50% F) 2. 80% 3. 25%
FY2003 Actual					
FY2004 Target	55	40	1. 600 (50% M, 50% F) 2. 80%	42 best practices	1. 300 (50% M, 50% F) 2. 80% 3. 25%
FY2004 Actual					

TR4: Process of Policy and Legislative Reform in Favor of CBNRM Supported

Overall Impact

To date, the Advocacy Task Force (ATF) created under the auspices of CURE has focused on issues relating to reform of land policy. In March 2002, the Task Force organized a national forum on land reform and in October 2002 representatives met with the Parliamentary Committee on Land, Agriculture and Natural Resources to advocate for greater participation of civil society in the land reform process.

It should be noted that the former Chair of the Parliamentary Committee expressed strong support for the draft presentation sent to him by the ATF in September 2002. Unfortunately, for reasons that may or may not be related to the Chair's stance on land reform, his Party removed him from the Committee later that same month.

Sub-Result 4A

The Advocacy Task Force has met six times in the past year.

Sub-Result 4B

Five Malawian NGOs have been recipients of training in environmental advocacy between 1999 and 2002: CURE, Christian Service Committee (CSC), the National Initiative for Civic Education (NICE), Greenwigs and the Wildlife and Environmental Society of Malawi (WESM). All of these organizations have integrated advocacy into their mission statements and their annual workplans. In addition, Nkhomano has provided leadership to the ATF (thought the death of their Executive Director may bring an end to this support). The Training Support Project (TSP) has now evolved into a Malawian NGO and the Executive Director has been a beneficiary of COMPASS advocacy training in his capacity as former Executive Director of CURE. OXFAM has actively supported the work of the ATF and has been instrumental in providing key financial and technical support. For the purposes of this assessment, we rank OXFAM's Malawi team as a local NGO. Membership of the Advocacy Task Force currently comprises 10 NGOs and CONGOMA but we estimate that no more than six or seven have strong environmental advocacy skills available within the respective organizations (CURE, CSC, NICE, Greenwigs, WESM, TSP and OXFAM).

TABLE 10: TR4 INDICATORS

TARGETED RESULT 4: Process of policy and legislative reform in favor of CBNRM supported			
	Overall Impact	Sub-Result 4A Participation in the development of CBNRM guiding principles strengthened	Sub-Result 4B: Capacity to evaluate and revise existing policies strengthened
Performance Indicator	Effectiveness of Advocacy Task Force	CBNRM policy reform agenda proposed to government Advocacy Task Force annually.	Number of NGOs able to effectively participate in the policy advocacy process.
Indicator Definition	Success rate for achieving key procedures and agenda items drafted by the Advocacy Task Force for CBNRM policy reform	Advocacy Task Force meets annually (during the CBNRM Conference), prepares a policy reform agenda, and presents it to representatives of the Government of Malawi	NGOs ability to participate in policy advocacy as defined by the following parameters: <ul style="list-style-type: none"> • research issues, • consult with constituency, • deliver cogent message to key decision makers, and • monitor follow-up.
Unit of Measurement	Percent	Production and presentation of annual policy agenda	Number of NGOs
Data Source	Advocacy Task Force	Advocacy Task Force	NGOs
Method/Approach of Data Collection	Review of records	Review of records	Audit
Schedule/Frequency	Annually	Annually	Annually
Reporting	Annually	Annually	Annually
End-users	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners

TABLE 12: TR4 TARGETS

TARGETED RESULT	Overall Impact	Sub-Result 4A Participation in the development of CBNRM guiding principles strengthened	Sub-Result 4B: Capacity to evaluate and revise existing policies strengthened
TR 4: Process of policy and legislative reform in favor of CBNRM supported	Success rate for achieving major procedures and agenda items drafted by the Advocacy Task Force	Advocacy Task Force meets regularly, prepares a policy reform agenda, and presents it to representatives of the Government of Malawi	Number of NGOs able to effectively participate in the policy advocacy process: <ul style="list-style-type: none"> • research issues, • consult with constituency, • deliver cogent message to key decision makers, and • monitor follow-up.
Target	75%	Annual policy agenda produced	4
Baseline Data	0%	0	0
FY2000 Target	40%	Annual policy agenda produced	1
FY2000 Actual	0	Draft under review	4
FY2001 Target	50%	Annual policy agenda produced	2
FY2001 Actual	50%	Yes	4
FY2002 Target	60%	Annual policy agenda produced	3
FY2002 Actual	50%	Yes	6
FY2003 Target	70%	Annual policy agenda produced	4
FY2003 Actual			
FY2004 Target	75%	Annual policy agenda produced	4
FY2004 Actual			

TR 5: CBNRM Small Grant Management Services to Finance Special CBNRM Opportunities Established

Overall Impact (1)

To date we have awarded 50 grants. By September 2002, 38 grants were fully disbursed. However 3 grants had to be terminated before the end of their funding period owing to implementation problems: two owing to lack of capacity to implement the project effectively, and one owing to disbanding of the organization. By the end of September 2002, 34 grants had reached their full term and had been completed and 16 grants were still in an active phase of funding.

Overall Impact (2)

Based on grantees performance reports and field assessments by COMPASS staff we have determined that the percentage of grants that performed successfully in achieving their targets was 80%.

Overall Impact (3)

29 of the established grant activities have are community based organizations (CBOs) with direct impact on beneficiaries, 12 are grant to Non-Governmental Organizations (NGOs) either for internal capacity building or for support to CBOs, one grant is to a private entrepreneur and 3 to special interest groups. 3 grant activities are focused on alternative energy, 7 on aquaculture, 3 on beekeeping, 5 on capacity building, 1 on co-management, 2 on eco-tourism, 1 on forestry, 2 on fruit tree nursery establishment, 2 on herbal production, 1 on public awareness, 12 on reforestation/afforestation, 1 on sustainable agriculture, 1 on wildlife domestication, 1 on wildlife extension, 1 on wildlife management and 6 on integrated natural resources management activities. Data available for 40 of these initiatives show that, the average percentage of women who are beneficiaries is 42 %. Data was not collected from 10 grant recipients of which 3 had unspecified target beneficiaries and 7 that were new awards.

Overall Impact (4)

Based on grantee performance reports and field assessments by COMPASS staff we have determined that 27 (54%) grant activities demonstrate positive environmental and socio-economic impacts.

Overall Impact (5)

24 of 34 grant activities that have received their full, obligated grant had completed a full year or more since the end of COMPASS funding. 75% of these grant activities have been sustained beyond one year after the end of the COMPASS grant period. One important issue is that grantees themselves typical feel that continued funding or other forms of external support are essential if the initiative is to continue. Despite COMPASS' efforts to impress on our grantees the importance of striving for eventual self-sufficiency and economic sustainability, many appear willing to perpetuate the ethic of donor dependence.

Overall Impact (6)

Based on data collected from 12 grant activities that had realized cash income from the grant activities, a total of \$9,000 in supplemental income has been generated. However this figure excludes 2 new awards who are promising income generating activities (natural resource food processing activities.) We further believe that this figure would have exceeded the target of \$100,000.00 if an economic value were attached to the 4.4 million tree seedlings that were raised by 14 grant activities involving afforestation. We intend

to include such estimates in future years but this will require careful valuations that will require some additional technical support.

Sub Result 5A

The original thinking was that applicants would submit an expression of interest (concept paper) first. Thereafter, once an internal review of the concept paper agreed that the idea was in line with COMPASS small grant objectives, the applicant would be assisted in coming up with a formal, structured project proposal for review by a panel of reviewers. In reality, people who have received information about the COMPASS small grant facility have often submitted applications for a grant without following this procedure. Some of these applications were in a form of application letters, or a concept papers (that were usually treated as formal applications) or well-structured project proposals. COMPASS has been very flexible on this issue and several more detailed expressions of interest have been treated as grant applications. In effect, it is impossible to tally the numbers against the set targets. In all, 341 concept papers and 73 letters expressing interest in applying for a COMPASS grant have been received. A total of 252 applications have been treated as fully-fledged proposals.

Sub Result 5B

The amount obligated in FY2002 (\$541,062.72) is higher than the target of \$110,000.00 this is due to the fact that, the grants program received many interesting, challenging and promising proposals that were recommended for awards by the grant panel review meetings. The total amount disbursed is \$486,945.71, which is also higher than the target of \$462,400

Sub Result 5C.

Based on assessments made during field visits, we have determined that 60 % of grantees are managing their grant activities in an acceptable fashion.

TABLE 12: TR5 INDICATORS

TARGETED RESULT 5: CBNRM small grant management services to finance special CBNRM opportunities established				
	Overall Impact	Sub-Result 5A: Manual of grant application and management procedures developed	Sub-Result 5B: Clear selection criteria for awards established	Sub-Result 5C: Technical assistance provided to applicants and recipients
Performance Indicator	Percent of successful grants	Number of applications	Number of grants and funds awarded	Effectiveness of field-based technical assistance provided to grantees
Indicator Definition	<ol style="list-style-type: none"> 1. Percent of grants completed. 2. Percent of grants achieving targets. 3. Percent of female beneficiaries. 4. Percent of grants demonstrating positive environmental and socio-economic impact. 5. Percent of grant projects sustained one year after COMPASS grant period. 6. Value of supplemental income generated by grants 	<ol style="list-style-type: none"> 1. Number of expressions of interests received. 2. Number of project proposals received. 	<ol style="list-style-type: none"> 1. Number of small grants awarded. 2. Amount of money obligated for grants. 3. Amount of money disbursed. 	<p>Percentage of grantees demonstrating acceptable grant management skills, as defined by the following functions:</p> <ul style="list-style-type: none"> • Meaningful consultation with beneficiaries for decision making. • Adequate financial management mechanisms. • Operational monitor performance system for adaptive management.
Unit of Measurement	<ol style="list-style-type: none"> 1 to 5. Percent 6. U.S. dollars 	Number	<ol style="list-style-type: none"> 1. Number 2. U.S. dollars 3. U.S. dollars 	Percent
Data Source	COMPASS grantees	COMPASS	COMPASS	COMPASS grantees and partners
Method/Approach of Data Collection	Review of records and survey	Review of records	Review of records	Audit
Schedule/Frequency	Annually	Quarterly	Quarterly	Annually
Reporting	Annually	Quarterly	Quarterly	Annually

End-users	USAID, CBNRM coordinating body, grantees, COMPASS partners	USAID	USAID	USAID, CBNRM coordinating body, grantees, COMPASS partners
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TABLE 13: TR 5 TARGETS

TARGETED RESULT	Overall Impact	Sub-Result 5A: Manual of grant application and management procedures developed	Sub-Result 5B: Clear selection criteria for awards established	Sub-Result 5C: Technical assistance provided to applicants and recipients
TR 5: CBNRM small grant management services to finance special CBNRM opportunities established	<ol style="list-style-type: none"> Percent of grants completed. Percent of grants achieving targets. Percent of female beneficiaries. Percent of grants demonstrating positive environmental and socio-economic impact. Percent of grant projects sustained one year after COMPASS grant period. Value of supplemental income generated by grants 	<ol style="list-style-type: none"> Number of expressions of interests received Number of project proposals received 	<ol style="list-style-type: none"> Number of small grants awarded. Amount of money obligated for grants. Amount of money disbursed. 	<p>Percentage of grantees demonstrating acceptable grant management skills, as defined by the following functions:</p> <ul style="list-style-type: none"> Meaningful consultation with beneficiaries for decision making, Adequate financial management mechanisms. Operational monitor performance system for adaptive management.
Target	<ol style="list-style-type: none"> 90% 60% 60% 60% 80% \$250,000 	<ol style="list-style-type: none"> 187 EOIs 76 proposals 	<ol style="list-style-type: none"> 55 grants \$550,000 \$550,000 	60%
Baseline Data	<ol style="list-style-type: none"> 0% 0% 0% 0% 0% 0 	<ol style="list-style-type: none"> 0 EOIs 0 proposals 	<ol style="list-style-type: none"> 0 grants 0 0 	0%
FY2000 Target	<ol style="list-style-type: none"> 80% 40% 60% 	<ol style="list-style-type: none"> 55 EOIs 22 proposals 	<ol style="list-style-type: none"> 15 grants \$180,000 \$180,000 	40%

	4. 40% 5. 70% 6. \$25,000			
FY2000 Actual	1. 0% 2. 70% 3. 57% 4. 60% 5. not applicable 6. \$2,000	1. 98 EOIs 2. 128 proposals	1. 23 2. \$249,000 3. \$135,000	50%
FY2001 Target	1. 85% 2. 50% 3. 60% 4. 50% 5. 75% 6. \$50,000	1. 127 EOIs 2. 52 proposals	1. 30 grants 2. \$172,500 3. \$352,500	50%
FY2001 Actual	1. 83% 2. 55% 3. 69% 4. 80% 5. not applicable 6. \$6,000	4. 217 EOIs 5. 252 proposals	1. 36 grants 2. \$167,000 3. \$340,000	55%
FY2002 Target	1. 90% 2. 55% 3. 60% 4. 55% 5. 80% 6. \$100,000	1. 187 EOIs 2. 76 proposals	1. 40 grants 2. \$110,000 3. \$462,400	55%
FY2002 Actual	1. 76% 2. 80% 3. 42% 4. 80% 5. 75% 6. \$9,000	1. 414 EOIs 2. 252 proposals	1. 50 grants 2. \$541,062.72 3. \$486,945.71	60%
FY2003 Target	1. 90%	1. 187 EOIs	1. 45 grants	60%

	2. 60% 3. 60% 4. 60% 5. 80% 6. \$200,000	2. 76 proposals	2. \$87,500 3. \$550,000	
FY2003 Actual				
FY2004 Target	1, 2, 3, 4 - small grants program completed 5, 80% still operating one year after grant 6. \$250,000	1. 187 EOIs 2. 76 proposals	1. 45 grants 2. 0 3. \$550,000	60%
FY2004 Actual				

Summary

The COMPASS activity was initiated in April 1999 with the arrival of the team of long-term staff in Blantyre and the establishment of the COMPASS Offices. Following USAID/Malawi's approval of the 1999, 2000, 2001 and 2002 workplans, the first 40 months of full implementation (July 1999 to October 2002) has seen progress in several areas:

- ◆ Assessed institutional arrangements for coordinating CBNRM in Malawi (TR1);
- ◆ Reviewed draft recommendations for improved coordination of CBNRM in Malawi and presentation of the revised recommendations to the National Council on the Environment (TR1);
- ◆ The first National Conference on CBNRM in Malawi held in mid-May 2001 and action plans for improved implementation of CBNRM initiatives developed (TR1);
- ◆ Facilitated the first ten meetings of the CBNRM Working Group at which terms of reference were established and a strategic plan for CBNRM in Malawi was finalized (TR1);
- ◆ The Strategic Plan for CBNRM was approved by the National Council for the Environment on November 14th 2001 (TR1);
- ◆ The CBNRM Working Group met and established succinct goals and objectives for CBNRM in Malawi (TR1);
- ◆ The Working Group and other partners received training in developing monitoring systems and a monitoring plan for CBNRM in Malawi was developed and subsequently approved (TR1);
- ◆ The revised terms of reference of the CBNRM Working Group were approved by the National Council for the Environment establishing a permanent coordination role for the Group (TR1);
- ◆ Prepared background papers on opportunities for sustainable financing of CBNRM in Malawi and sustainable financing of CBNRM coordination (TR1);
- ◆ Created the COMPASS Partners' Association and established a fully functional ListServ that facilitates communication among those COMPASS Partners that have Internet access. The CBNRM Partner Directory has been updated and now lists 230 organizations; the COMPASS ListServ now comprises 173 addressees, with 138 of these in Malawi (TR1);
- ◆ Organized a forum on improved management of crocodiles and hippopotamus in the Lower Shire with full participation of Traditional Authorities and local government officials (TR1);
- ◆ Community wildlife monitoring plans have been developed for the Lower Shire and work is underway to support the efforts of community trusts to negotiate co-management agreements with the Department of National Parks and Wildlife for Lengwe National Park and Mwabvi and Majete Wildlife Reserves (TR1);
- ◆ Organized a forum of Lake Chilwa fishers to review and revise local by-laws and raise them to the status of national legislation (TR1);
- ◆ By-laws and amended fishing regulations for the Lake Chilwa Beach Village Committees drafted into legal texts in preparation for presentation to the Minister of Natural Resources and Director of Fisheries for Government approval (TR1);
- ◆ Supported the Malawi Environmental Endowment Trust to enable the organization to hold stakeholder consultation on its grant disbursement policies and procedures (TR1);
- ◆ Supported the Wildlife and Environmental Society of Malawi to attend conferences and workshops on wildlife management and Environmental Impact Assessment (TR1 and TR3);
- ◆ Held a forum to develop action plans for creating and strengthening natural resource based enterprises (NRBEs) in Malawi (TR1);
- ◆ Through a grant to CURE, policy briefs for key natural resource sectors and cross-cutting issues are being developed and disseminated in local languages (TR1 and TR5);
- ◆ Customized the COMPASS Technical and Administrative Management Information system (TAMIS) and linked key partners to the system over the Internet (TR2);
- ◆ Established Geographic Information System capability at the COMPASS offices (TR2);

- ◆ Created the COMPASS site on the World-Wide Web to provide up to date information to all partners and other parties that have access to the Web (TR2);
- ◆ All small-grant and best-practice sites geo-referenced and shown on maps that can be viewed on the COMPASS Worldwide Web site - <http://www.compass-malawi.com> (TR2);
- ◆ TAMIS User Group surveyed to assess ways to improve access to COMPASS information systems and increase the usefulness of the available data (TR2);
- ◆ COMPASS site on the Worldwide Web revised and improved to forge linkages with TAMIS (TR2);
- ◆ Prepared a CBNRM communications strategy (TR2);
- ◆ Held a workshop on how to develop and conduct media campaigns to raise public awareness about CBNRM. The participants subsequently developed public awareness campaign action plans for their respective organizations (TR2);
- ◆ Training in introductory GIS skills provided to EDOs (TR2);
- ◆ The EDOs from COMPASS target Districts have received intermediate training in GIS (TR2);
- ◆ Organized a COMPASS Open Day to disseminate information to a broad cross-section of existing and potential partners (TR2)
- ◆ Completed a Chitumbuka version of the COMPASS small-grants manual (TR2 and TR5);
- ◆ Held two regional forums at which the COMPASS Team described the new implementation plan that focuses on nine focal Districts and solicited opinions from key government and NGO representatives on how to promote greater collaboration with COMPASS in these target Districts (TR2);
- ◆ Proceedings of the first National Conference on CBNRM in Malawi circulated within four weeks of the end of the conference and reviewed by members of the CBNRM Working Group and the National Council for the Environment (TR2);
- ◆ Planning for the 2002 national conference is complete (TR2);
- ◆ A series of five wildlife posters were printed for sale and distribution by the Wildlife & Environmental Society of Malawi (TR2);
- ◆ An agreement has been signed with the Malawi News Agency that will provide access to video equipment for publicizing CBNRM best practices and exemplary COMPASS small grant sites (TR2);
- ◆ Environmental Awareness initiatives were supported through the Dwangwa Branch of the Wildlife and Environmental Society and the Blantyre Branch, which is rehabilitating the student hostel and education facilities in Lengwe National Park (TR2);
- ◆ A description of COMPASS was one of only 9 such presentations selected for public dissemination on a website created by the organizers of the World Summit on Sustainable Development (TR2);
- ◆ Launched a best practices database (TR3);
- ◆ Completed a CBNRM Training Needs Assessment (TR3);
- ◆ Developed an information package that informs potential partners about training opportunities available through COMPASS and explains application procedures (TR3);
- ◆ Identified of 19 best-practice sites and expanded the database accessible via the COMPASS site on the World-wide Web (TR3);
- ◆ Organized more than 15 study tours and exchange visits (TR3);
- ◆ Organized over 20 demand-driven training workshops (TR2, TR3 and TR5);
- ◆ Developed guidelines for cost-sharing for training activities (TR3);
- ◆ Broad consensus on cost-sharing principles has been achieved among COMPASS among partner organizations (TR3);
- ◆ Established an agreement with CABUNGO to provide organizational development (OD) support to four fledgling organizations with which COMPASS has build strong linkages (Chisoti Youth Organization, Matindi Youth Organization, BERDO and RUFA;
- ◆ COMPASS evaluation of the impact of COMPASS training efforts has been completed (TR3);

- ◆ Procedures that help trainees evaluate the impact of COMPASS training efforts have been implemented (TR3);
- ◆ The number of best-practice sites advertised on the COMPASS website now stands at 28 (TR3);
- ◆ Completed a comprehensive review of the policy framework for CBNRM (TR4);
- ◆ Established partnerships with National Democratic Institute, IUCN and World Resources Institute to collaborate on advocacy training that will facilitate the involvement of grassroots organizations in the debate on policy reforms supportive of CBNRM (TR4);
- ◆ Completed an assessment of grassroots advocacy for CBNRM (TR4);
- ◆ Established a formal collaborative agreement with the Advocacy Task Force, which met in May 2001 and prepared a summary report on the current state of land reform in Malawi (TR4);
- ◆ Organized two regional tours to key CBNRM sites in Malawi for members of the Parliamentary Committee on the Environment (PCE) (TR4);
- ◆ A training course in policy analysis and advocacy was organized and a policy update prepared (TR4);
- ◆ COMPASS participated at a meeting between a sub-committee of the PCE and representatives of key NGOs at which critical advocacy issues were discussed in preparation for a PCE presentation to the National Assembly (Parliament) (TR4);
- ◆ The Parliamentary Committee on the Environment completed its review of the state of natural resource management in Malawi with interviews of directors of key government departments and the Minister of Natural Resources. On June 28th the PCE made its report to the House and requested the House's approval of the committee's revised Terms of Reference (TR4);
- ◆ Evaluated the performance and impact of CURE and helped develop of a new long-term strategy for the organization (TR4);
- ◆ The Advocacy Task Force organized a national forum on land policy reform during the first quarter of 2002 (TR4);
- ◆ The Advocacy Task Force developed a presentation on land reform for the Parliamentary Committee on Agriculture, Land and Natural Resources based on the recommendations of the national forum on land policy reform (TR4);
- ◆ Disseminated information nationwide on the availability of COMPASS small grants (TR5);
- ◆ Developed a manual of tools and guidelines for participatory monitoring and provided training to partner organizations and potential grant recipients (TR5);
- ◆ Established a small-grant review process that accomplished the processing of over 200 proposals up to October 2002 (TR5).
- ◆ Awarded the first COMPASS small grants in January 2000 and a total of 50 grants by October 2002 (TR5);
- ◆ Distributed the COMPASS small-grants manual and participatory monitoring guidelines in Chichewa and Chitumbuka (TR5);
- ◆ Completed the first and second annual assessments of grantee performance (TR5);
- ◆ Provided in-depth training on participatory monitoring to current and prospective grantees (TR5).
- ◆ Provided in-depth training in financial management of small grants to current and prospective grantees (TR5);
- ◆ Undertook a field review of small-grant activities (TR5);
- ◆ 35 small grant initiatives completed with over two million tree seedlings planted by the nine grantees that focused on afforestation efforts (TR5);
- ◆ Provided supplementary training to build grantee's capacity for financial management, project management and participatory monitoring (TR5).

During 2003, COMPASS expects to consolidate our role in promoting and supporting CBNRM in Malawi and hopes to build on our successes over the first 40 months of implementation. Over this period, the COMPASS team has been able to draw many lessons from our own experiences and those

of our partners. At the start of 2001 we identified some changes in direction that we felt were warranted. These new courses included:

- ◆ *a stronger focus on supporting field-based initiatives that to date have largely centered on the small-grants program and community mobilization and training activities;*
- ◆ *a greater emphasis on increasing public awareness of natural resource management issues in COMPASS focal Districts; and*
- ◆ *a more targeted approach to creating tangible impact in key areas through an emphasis on integrating the Targeted Result activities (particularly coordination (TR1) and information and public awareness (TR2) and advocacy (TR4) with the field-based training and mobilization (TR3) and small grants initiatives (TR5).*

These operational objectives were met during 2001 and 2002 and will remain in force in 2003. In order to implement this modified approach to accomplishing our goals, the DAI/DMA Team expanded the COMPASS Support Staff by one person: Francis Ngopola joined the Team to provide field support for the small-grant initiative.

In the final quarter of 2001, COMPASS undertook an external evaluation of our performance and impact over the first 30 months of implementation. Based on the findings and outcome of this assessment, which was completed in 2002, we have made adjustments to our strategy and approach. These include:

- ◆ *Developing an HIV/AIDS strategy based on careful field assessment of the impact of the pandemic on rural communities and the natural resource base;*
- ◆ *Developing a gender policy and strategy that we will share with our partner organizations; and*
- ◆ *Providing targeted Business Development Services (BDS) support to key partner organizations and small grant recipients to assist in enterprise development.*

We feel that COMPASS' efforts in the year 2003 will build on the strong relationship with our partners and set the course for the activity's direction for the remaining CLIN0002 period (to mid-September 2003) and the start of CLIN0003, which will culminate with COMPASS completion in the first quarter of 2004. We are aware of the numerous challenges that face the successful adoption CBNRM in Malawi as well as a successful transition from COMPASS support to the independence of our partners. Nevertheless, we also recognize that there are many opportunities for forging partnerships that will help establish a policy framework conducive to CBNRM and mobilize communities to embrace approaches to natural resource management that are environmentally sustainable and socially equitable.

In addition to monitoring COMPASS performance relative to our workplan objectives, the COMPASS Team has developed a monitoring plan that gauges progress toward achieving our long-term goals based on intermediate performance targets and measures of impact. It is this monitoring plan that is presented in this document with reporting against our first, second and third years' targets. We have been careful to explain sources of the data we have used, to provide assessments of the quality of these data wherever this may be in doubt and to provide explanations in cases where there has been under-performance relative to our stated targets. Overall, we believe that COMPASS has met most of our initial performance and impact goals. Performance shortcomings in several areas reflect circumstances beyond the immediate manageable interest of COMPASS. This notwithstanding, we feel that these targets will be met over the coming months and are hopeful that we will soon meet our FY2002 goals. In several areas we are well ahead of our initial targets and we look forward to building on these successes.

COMPASS Publications

Document Number	Title	Author(s)	Date
Document 1	COMPASS Year 1 Work Plan	COMPASS	Jul-99
Document 2	COMPASS Small Grants Management Manual	Umphawi, A., Clausen, R., Watson, A.	Sep-99
Document 3	Year 2 Annual Work Plan	COMPASS	Dec-99
Document 4	July 1 - September 30, 1999: Quarterly Report	COMPASS	Oct-99
Document 5	Training Needs Assessment: Responsive Modules & Training Approach	Mwakanema, G.	Nov-99
Document 6	Guidelines and Tools for Community-Based Monitoring	Svendsen, D.	Nov-99
Document 7	Policy Framework for CBNRM in Malawi: A Review of Laws, Policies and Practices	Trick, P.	Dec-99
Document 8	Performance Monitoring for COMPASS and for CBNRM in Malawi	Zador, M.	Feb-00
Document 9	October 1 - December 31, 1999: Quarterly Report	COMPASS	Jan-00
Document 10	Workshop on Principles and Approaches for CBNRM in Malawi: An assessment of needs for effective implementation of CBNRM	Watson, A.	Mar-00
Document 11	January 1 - March 31, 2000: Quarterly Report	COMPASS	Apr-00
Document 12	Thandizo la Ndalama za Kasamalidwe ka Zachilengedwe (Small Grants Manual in Chichewa)	Mphaka, P.	Apr-00
Document 13	Njira Zomwe Gulu Lingatsate Powunikira Limodzi Momwe Ntchito Ikuyendera (Guidelines and Tools for Community-based Monitoring in Chichewa)	Svendsen, D. - Translated by Mphaka, P. and Umphawi, A.	May-00
Document 14	Grass-roots Advocacy for Policy Reform: The Institutional Mechanisms, Sectoral Issues and Key Agenda Items	Lowore, J. and Wilson, J.	Jun-00
Document 15	A Strategic Framework for CBNRM Media Campaigns in Malawi	Sneed, T.	Jul-00
Document 16	Training Activities for Community-based Monitoring	Svendsen, D.	Jul-00
Document 17	April 1 - June 30, 2000: Quarterly Report	COMPASS	Jul-00
Document 18	Crocodile and Hippopotamus Management in the Lower Shire	Kaloweckamo, F.	Sep-00
Document 19	Cost-Sharing Principles and Guidelines for CBNRM Activities	Moyo, N.	Sep-00
Document 20	Workplan: 2001	COMPASS	Nov-00
Document 21	July 1 - September 30, 2000: Quarterly Report	COMPASS	Oct-00
Document 22	Opportunities for Sustainable Financing of CBNRM in Malawi: A	Watson, A.	Nov-00

	Discussion		
Document 23	Framework for Strategic Planning for CBNRM in Malawi	Simons, G.	Nov-00
Document 24	Kabuku Kakwandula Ndongomeko ya Thumba Lapadera la Wupu wa COMPASS (Chitumbuka version of the COMPASS Small-grant Manual)	Umphawi, A., Clausen, R. & Watson, A. Translated by Chirwa, T.H. & Kapila, M.	Dec-00
Document 25	COMPASS Performance and Impact: 1999/2000	COMPASS	Nov-00
Document 26	October 1 - December 31, 2000: Quarterly Report	COMPASS	Jan-01
Document 27	COMPASS Grantee Performance Report	Umphawi, A.	Mar-01
Document 28	January 1 - March 31, 2001: Quarterly Report	COMPASS	Apr-01
Document 29	Natural Resource Based Enterprises in Malawi: Study on the contribution of NRBs to economic development and community-based natural resource management in Machinga District	Lowore, J.	Apr-01
Document 30	Proceedings of the First National Conference on CBNRM in Malawi	Kapila, M., Shaba, T., Chadza, W., Yassin, B. and Mikuwa, M.	Jun-01
Document 31	Natural Resource Based Enterprises in Malawi: Action Plans	Watson, A.	Jun-01
Document 32	Examples of CBNRM Best Practices in Malawi	Moyo, N. & Epulani, F.	Jun-01
Document 33	Media Training for CBNRM Public Awareness	Kapila, M.	Jun-01
Document 34	April 1 - June 30, 2001: Quarterly Report	COMPASS	Jul-01
Document 35	Strategic Plan for CBNRM in Malawi	CBNRM Working Group	Sep-01
Document 36	Workplan: 2002	COMPASS	Oct-01
Document 37	July 1 - September 30, 2001: Quarterly Report	COMPASS	Oct-01
Document 38	COMPASS Performance and Impact: 2000/2001	COMPASS	Dec-01
Document 39	Coordination of CBNRM in Malawi: Financing Options	Watson, A.	Jan-02
Document 40	Performance Monitoring for CBNRM in Malawi	CBNRM Working Group	Oct-02
Document 41	October 1 – December 31, 2001: Quarterly Report	COMPASS	Jan-02
Document 42	COMPASS Field Level Training Impact Evaluation	Moyo, N.	Feb-02
Document 43	COMPASS Grantee Performance Report: 2001	Umphawi, U.	Apr-02
Document 44	COMPASS Assessment: 2001	Sambo, E., Carr, S., Omambia, D. & Moore, T.	Apr-02
Document 45	January 1 - March 31, 2002: Quarterly Report	COMPASS	Apr-02
Document 46	Community Tourism and Enterprise Training Manual	Kacal, S.	Jun-02
Document 47	Charcoal, Chiefs and Chambo: Status of CBNRM Policies in Malawi	Trick, P. & Manning, L.	Jun-02

Document 48	April 1 - June 30, 2002: Quarterly Report	COMPASS	Jul-02
Document 49	Business Development Services for Natural Resource Based Enterprises	Magai, G. & Nthambi, T.	Sep-02
Document 50	July 1 – September 30, 2002: Quarterly Report	COMPASS	Oct-02
Document 51	Workplan: 2003	COMPASS	Oct-02
Document 52	COMPASS Performance and Impact: 2001/2002	COMPASS	Oct-02
Document 53	GIS for Natural Resource Managers: An intermediate level training course for District Environmental Officers in Malawi	Craven, D.	Nov-02
Draft 54	Proceedings of the Second National Conference on CBNRM	Malembo, L., Chadza, W., Kamuloni, S. & Kanjedza, R.	Dec-02
Draft 55	Impact of HIV/AIDS on Natural Resource Management in Malawi	Page, S.	Dec-02
Document 56	October 1 – December 31, 2002: Quarterly Report	COMPASS	Jan-03
Document 57	The Role of the Private Sector in CBNRM in Malawi	Watson, A.	Jan-03
Internal Report 1	Building GIS Capabilities for the COMPASS Information System	Craven, D.	Nov-99
Internal Report 2	Reference Catalogue (2nd Edition)	COMPASS	Feb-01
Internal Report 3	Workshop on Strategic Planning for the Wildlife Society of Malawi	Quinlan, K.	Apr-00
Internal Report 4	Directory of CBNRM Organizations (2nd Edition)	COMPASS	Jan-01
Internal Report 5	Proceedings of Water Hyacinth Workshop for Mthunzi wa Malawi	Kapila, M. (editor)	Jun-00
Internal Report 6	COMPASS Grantee Performance Report	Umphawi, A.	Jun-00
Internal Report 7	Examples of CBNRM Best-Practices in Malawi	Moyo, N. and Epulani, F.	Jul-00
Internal Report 8	Software Application Training for COMPASS	Di Lorenzo, N.A.	Sep-00
Internal Report 9	Directory of COMPASS ListServ Members	Watson, A.	Jan-01
Internal Report 10	Introductory Training in Applications of Geographic Information Systems and Remote Sensing	Kapila, M.	Feb-01
Internal Report 11	COMPASS TAMIS Grants Manual	Exo, S.	Mar-01
Internal Report 12	Review of Recommendations of the Lake Chilwa and Mpoto Lagoon Fisheries By-Laws Review Meeting	Nyirenda, K.	May-01
Internal Report 13	End-of-Term Evaluation of the Co-Ordination Unit for the Rehabilitation of the Environment (CURE)	Sambo, E.Y.	Sep-01
Internal Report 14	Mwabvi Wildlife Reserve Co-Management Agreement Negotiations	Betha, M,R.B.	Dec-02